

U.S. DEPARTMENT OF EDUCATION  
WASHINGTON, DC 20202

**OFFICE OF POSTSECONDARY EDUCATION  
HIGHER EDUCATION PROGRAMS  
INSTITUTIONAL DEVELOPMENT AND UNDERGRADUATE  
EDUCATION SERVICE**

**APPLICATION FOR GRANTS UNDER THE  
MINORITY SCIENCE and ENGINEERING IMPROVEMENT  
PROGRAM  
(MSEIP)**

CFDA Number 84.120-A

FORM APPROVED  
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## **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0109. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Minority Science and Engineering Improvement Program, Institutional Development and Undergraduate Education Service, U.S. Department of Education, 1990 K Street, N.W., 6<sup>th</sup> Floor, Washington, DC 20006-8517.



*United States Department of Education*

*Washington D.C. 20202*

Dear Applicant:

Thank you for your interest in the Minority Science and Engineering Improvement Program (MSEIP) competition for new awards for Fiscal Year 2004. This booklet includes the guidelines and forms needed for submitting a complete application to the U.S. Department of Education.

This program is authorized under Title III, Part E of the Higher Education Act of 1965, as amended. It makes grants to institutions of higher education that are designed to effect long-range improvement in science and engineering education at predominantly minority institutions and to increase the participation of underrepresented ethnic minorities, particularly women, in scientific and technological careers.

New MSEIP grants will be awarded on a competitive basis for four types of projects, which are described in this booklet. The enclosed notice inviting applications for new awards provides information on the estimated funds available, funding levels, the estimated number of new awards, and procedures for preparing and submitting an application. Applications for new awards must be submitted electronically by March 12, 2004.

If you have questions or require additional information, please contact [OPE\\_MSEIP@ed.gov](mailto:OPE_MSEIP@ed.gov) or Dr. Bennie Samuels at (202) 502-7777.

I appreciate your interest in, and support of, the Minority Science and Engineering Improvement Program and look forward to receiving your applications. Your efforts will provide a new generation of well-educated women and minorities pursuing studies in science and engineering that will enable them to meet the challenges of the 21<sup>st</sup> century.

Sincerely,

Wilbert Bryant  
Deputy Assistant Secretary  
for Higher Education Programs

# ***Minority Science and Engineering Improvement Program (MSEIP)***

## ***APPLICATION INSTRUCTIONS***

Eligible applicants include public and private, nonprofit accredited institutions of higher education (IHEs) with minority enrollments that exceed 50% of the total enrollment; professional scientific societies; nonprofit science-oriented organizations; and nonprofit 4-year accredited colleges and universities that provide needed services to a group of eligible minority institutions or that provide special training for project directors, scientists, and engineers from eligible minority institutions. Additionally, 2-year public or private non-profit IHEs that award associate degrees, and are minority institutions that have curricula that include science and engineering subjects and enter into a partnership with a 4-year IHE are eligible to apply. "Minority Institution" is defined in the regulations, 34 CFR 637.4(b) (Appendix III).

### **GRANTS WILL BE AWARDED FOR THE FOLLOWING TYPES OF PROJECTS:**

- (1) Design Project grants assist minority institutions that do not have their own appropriate resources or personnel to plan and develop long-range science and/or engineering improvement programs.
- (2) Institutional Project grants support the implementation of a comprehensive science improvement plan, which may include any combination of activities for improving the preparation of minority students, particularly minority women, for careers in science and/or engineering.
- (3) Cooperative Project grants assist groups of nonprofit, accredited colleges and universities to work together to conduct science and/or engineering improvement projects; and
- (4) Special Project grants assist:
  - (a) Eligible minority institutions to support activities that improve quality training in science and engineering or enhance the minority institution's general scientific research capabilities,
  - (b) Eligible applicants to support activities that provide needed services to a group of eligible minority institutions, or that provide special training for project directors, scientists, and engineers from eligible minority institutions, or
  - (c) Eligible applicants to support activities to improve the access for Pre-college minority students to careers in science and engineering.

## Unsupportable Activities

MSEIP applications should not request support for faculty or graduate student research projects and related activities. Such support should be sought through other Department of Education (ED) programs established for those purposes, through the National Science Foundation or through other U.S. Government or non-government agencies. Support should not be requested for activities resulting from increased enrollments or special admissions policies as these are considered to be institutional responsibilities.

Funds cannot be provided for remedial or activities of high school senior students. MSEIP does not support in-service pre-college (elementary/secondary) teacher training programs.

Minority institutions are encouraged to become familiar with programs in the Department and other Federal agencies and to submit applications to these programs when institutional objectives agree with those of the program.

While the program staff will discuss applicants' plans informally prior to the submission of an application in order to ascertain their eligibility for support, informal or preliminary applications will not be considered.

## **I. PROGRAM DESCRIPTION**

### Introduction

The Department of Education supports a wide variety of programs aimed at strengthening the quality of education in the nation. The MSEIP is uniquely designed to strengthen science education programs in minority institutions of higher education as well as to promote access for minorities to careers in science and technology.

### General Purpose and Objectives

The objectives of MSEIP are to effect long-range improvement in science\* education programs at predominantly minority\*\* institutions and to increase the flow of underrepresented ethnic minorities, particularly minority women, into scientific careers.

Achievement of these objectives should enable grantees to improve:

- o The access of undergraduate minority students to careers in the sciences, mathematics, and engineering,
- o The access for pre-college minority students to careers in science and engineering through enrichment activities conducted through nonprofit accredited colleges and universities,
- o The capability of minority institutions for self-assessment, management and evaluation of the science programs and dissemination of their results, and
- o The existing capability of minority institutions in the planning and implementation of science programs, so that they will improve the ability to compete more effectively for grants for assistance programs not specifically intended for minority groups or institutions.

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- \* Science as defined for the purposes of this program includes the biological, behavioral, engineering, mathematical, physical and social sciences, and the history and philosophy of science; also included are interdisciplinary fields that are comprised of overlapping areas among two or more sciences (e.g., biophysics, geochemistry, biochemistry). The definition does not include health or medical sciences or professions.
- \*\* "Minority" means American Indians, Alaskan Natives, Blacks (not of Hispanic origin), Hispanics (including persons of Mexican, Puerto Rican, Cuban, and Central or South American origin), Pacific Islanders or other ethnic groups underrepresented in science and engineering. Available data indicate that persons of Asian descent are not underrepresented in science and engineering. An applying minority institution's minority enrollment must be predominantly (more than 50 percent) a single minority group or a combination of the minority groups described above. These minority persons must be United States citizens or permanent residents.

## **Eligibility and Limitations**

### **Design Projects**

Eligible 2 and 4-year institutions must be accredited by a nationally recognized accrediting agency or must be making satisfactory progress toward achieving accreditation. Minority institutions that have not received previous MSEIP support and do not have appropriate resources for planning are eligible to submit Design Projects applications. Support for Design Projects includes, but is not limited to, developing plans for (a) management and evaluations, (b) initiating scientific research, and (c) improving institutions' capabilities for such activities. Financial support for Design Projects should not be requested for periods exceeding 12 months or for sums exceeding \$20,000.

Institutions eligible for Design Projects are not required to apply for such grants prior to applying for other support from MSEIP or other Department programs.

### **Cooperative Projects**

An ad hoc group or a formal consortium of eligible institutions may find it both advantageous and cost-effective to propose a cooperative science improvement plan for the group or consortium. While any non-profit accredited colleges and universities may participate in a Cooperative Project, the fiscal agent for such a project must be an eligible minority institution. Financial support for Cooperative Projects should not be requested for periods exceeding 36 months or for amounts in excess of \$500,000 over a 36-month period.

### **Institutional Projects**

Support for Institutional Projects is only provided to minority institutions. Support for Institutional Projects should not be requested for periods exceeding 36 months or for amounts in excess of \$300,000 over a 36-month period.

## **Special Projects**

Financial support for Special Projects (local or pre-college activities) should not be requested for periods exceeding 24 months or for sums exceeding \$50,000 over a 24-month period. However, Special Projects that provide a needed service to a group of eligible minority institutions or provide training for project directors, scientists and engineers at eligible minority institutions may request funds up to \$150,000 over a 24-month period. Applicants for this type of project may be accredited colleges and universities, science-oriented nonprofit organizations, and professional scientific societies.

Applicants should not submit budget requests in excess of those amounts. Requests for financial support of projects for less than the maximum duration should be proportionately reduced.

Institutional and cooperative project applications should take into consideration an individual institution's size and its resources for continuing project activities when funding ceases. Science improvement plans for which MSEIP support is requested are expected to be comprehensive in nature, as opposed to focusing on a single improvement activity such as faculty development, instructional equipment, etc. Therefore, no single budgetary item within an institutional or cooperative application (e.g., equipment, faculty and staff salaries, renovations, etc.) should comprise more than 50 percent of the total support requested.

MSEIP grant funds may not be used to pay for more than 50% of the academic year personnel costs of faculty members involved in a Design Project.

Participation in MSEIP does not usually affect an institution's eligibility to submit applications to, or receive support from, other Federal/non-Federal programs. If, however, funding is received from other sources for activities which duplicate those contained in a MSEIP grant or application, the MSEIP staff should be notified immediately.

## **II. PREPARATION OF APPLICATIONS**

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

### ***Page Limit***

We have established a mandatory page limit for the narrative portion for each type of project application. The page limits are as follows:

- o Design Project Application: The narrative portion must not exceed 10 doubled-spaced pages.
- o Institutional and Cooperative Project Application: The narrative portion must not exceed 20 double-spaced pages.
- o Special Project Application: The narrative portion must not exceed 15 double-spaced pages.

### ***Page Format***

You must use the following page format standards:

- o A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- o Double space (no more than three lines per vertical inch) all text in the application narrative, including titles and headings. You may single space the abstract, footnotes, quotations, references, captions, tables, and forms (including the ED Forms), however, you must still use font size 12.
- o Use a font that is size 12.

#### **A. DESIGN PROJECT APPLICATIONS: Content**

Each Design Project Application should contain the following in the order listed:

1. Cover Sheet
2. Budget Summary Sheets: Application Budget Summary and MSEIP Budget
3. Budget Explanation and Detail
4. Table of Contents
5. Narrative
6. Curriculum Vitae of Key Project Personnel and Consultants

Forms for the Cover Sheet and Budget Summary Sheets are located in Appendix IV. These forms may be reproduced and used in the preparation of applications. Check "Design" on the Cover Sheet to designate the project type. When completing the Budget Sheets, use only those budget line items that are appropriate for a Design Project.

The length of the narrative must not exceed 10 double spaced pages. The narrative should contain the following:

1. Justification of Need for Design Grant. A brief, documented statement should explain why the institution is eligible for this activity and why such assistance is needed. The administrative structure of the institution should be described.
2. Project Objectives and Design. A statement of the specific objectives of the Design Project and a brief description of the activities proposed to accomplish these objectives should be given. A plan for conducting a needs assessment, an analysis of existing institutional resources in science and a schema for developing a realistic long-range science improvement plan should be described.
3. Organization/Management Plan and Timetable: A brief description of the role and relevant skills of each key person involved in the project, including consultants, and a timetable for major project tasks to be accomplished, should be presented.

4. Evaluation Plan: A mechanism for determining whether project objectives have been accomplished should be detailed.
5. Expected Outcomes: A brief description of benefits to be derived from the project should be given.
6. Institutional Support of the Project: A statement should be included from the chief executive officer of the institution endorsing the project and indicating how the project will accelerate the attainment of institutional goals in science.

Design Projects may request support for outside consultants for evaluation of current science programs, replacement time for principal project staff, clerical assistance and curriculum development planning for science or engineering. The science improvement plan resulting from a design project may be used in the development of an institutional application. Each institutional application resulting from a design project will be judged on its own merit in competition with all other applications submitted prior to or on a given closing date.

B. INSTITUTIONAL AND COOPERATIVE PROJECT APPLICATIONS: Content.

Each Institutional or Cooperative Project Application should contain the following in the order listed:

1. Cover Sheet
2. Budget Summary Sheets: Application Budget Summary and MSEIP Budget
3. Budget Explanation and Detail
4. Project Summary
5. Table of Contents
6. Information on Current or Proposed Projects
7. Summary Information on Previous Science Education Awards
8. Narrative
9. Curriculum Vitae of Key Project Personnel and Consultants

Forms for the Cover Sheet, Budget Summary Sheets and the Project Summary are located in Appendix IV. These forms should be reproduced and used in the preparation of applications.

Cover Sheet. Self-Explanatory

The entry for “Name of Submitting Organization” on the Cover Sheet is the official name of the applying institution or organization.

In the case of Cooperative Projects, this entry is the name of one of the eligible cooperating institutions agreeing to act as the legal fiscal agent and principal coordinator of the proposed activities. The item indicating total support requested should be the same figure as shown in item 11 on the Application Budget Summary Sheet.

Signature Copy. The names and title of the proposed Project Director and an official authorized to sign for the proposed grantee institution are to be typed on the Cover Sheet of all copies of the application.

For Cooperative Project Applications, an additional page should be appended to the Cover Sheet, which includes the signatures of an authorized official and an assisting project director from each of the cooperating institutions.

The Cover Sheet(s) of ONE copy of the application must bear the original signatures of each individual signer. The signature of the authorized official signifies cognizance of eligibility and limitation requirements, endorsement of the application and commitment to provide the specified support of proposed activities in the event a grant is awarded. The signature of the authorized official also signifies the institutional commitment to absorb any after-the-grant burden initiated by the project.

Application Budget Summary, MSEIP Budget, and Budget Explanation and Detail. The plan described in the application may use a variety of means to effect improvement deemed appropriate in the local context. In the application budget, proposed expenditures are to be summarized according to the pertinent categories shown on the forms. Not all application budget items apply to all grants. On the Budget Explanation and Detail pages, a year-by-year breakdown of the pertinent categories should be given. Budget notes that detail specifically how the costs were determined should be provided.

Project Summary Page. The Summary should be a concise description of the type of institution, and the project, limited to one page. It should contain a statement of objectives, an outline of how project objectives will be carried out, a statement summarizing the categories of requested support and a description of anticipated outcomes indicating the number of students to be affected by the project. The Summary should be written so that a layperson can understand the use of federal funds in support of the project. It should therefore be worded with considerable care, in a manner suitable for general distribution to the public.

Information Regarding Applicant's Current Science Education and Research Activities. Each application must list all current projects in addition to the proposed project to which the senior personnel have committed a portion of their time, whether or not salary for the person(s) involved is included in the budgets of the various projects. This information should include the titles and dates of current grants or contracts, the sources of funds; annual budget levels and time

devoted to each project by each of the senior personnel. The application must also provide analogous information for all other proposed projects which are being considered by, or which will be submitted in the near future to other possible sponsors, including other related Department programs. Concurrent submission of an application to other organizations will not prejudice its review by the Department.

Summary Information on Previous Science Education Awards. Institutions, whether submitting individual applications or participating in applications submitted by consortia that have received previous grants from any Federal agency, including the Department of Education, within the last six years, are to prepare a brief summary statement containing the following information for those grants:

- a. Granting agency, grant number, title, date, duration and amount.
- b. Summary of objectives and activities of each previous science education award.
- c. Evidence of success in attaining objectives of previous science education awards and a description of how the institution is maintaining activities from these awards.
- d. A description of how the proposed project relates to previous science education award objectives and accomplishments, where appropriate.
- e. A description of the institution's progress in attaining its long-range science goals as a result of the proposed project, previous science education awards, the institution's own efforts in science and any other externally funded projects involving science and engineering education programs. Applications that do not comply with this program requirement by not including the applicant's awards, including the applicant's use of funds under previous awards under the same Federal program, will be returned to the sender without being evaluated for funding. (EDGAR, Sections 75.216 and 75.217)

Narrative. The length of the narrative must not exceed 20 double-spaced pages. It should begin with a brief description of the institution, containing such information as average enrollment, type of location (small college town, urban, etc.), type of school (liberal arts college, teacher college, state university, etc.), fields of emphasis, degrees offered, etc.

The narrative should briefly describe the institution's commitment to providing a quality science program for its students as reflected in ongoing science activities at the institution.

The proposed science improvement plan should be fully described. Such a description should provide specific information on the following:

1. Status of Existing Science Program. Describe the institution's current science program relative to its overall education program and the projected impact of the proposed science improvement plan. Applicants may provide information in areas such as the following (the list is suggestive rather than exhaustive): full-time science faculty; highest degree(s) offered in science; total student enrollment and student enrollment in science courses; number of science majors by discipline; undergraduate science degrees awarded last academic year; average teaching load (in semester or quarter hours) in science and other disciplines; etc.

2. Institutional Needs in Science. Compare institutional objectives in science with existing conditions and resources in science for the purpose of identifying significant needs and for providing a frame of reference for the proposed improvement strategy.
3. Specific Needs to be Addressed and Relationship to MSEIP Objectives. Describe the specific needs or objectives of the proposed plan, the basis for their selection from among those needs identified in (2) and their relevance to stated MSEIP objectives.
4. Strategy to be Utilized. Describe the specific activities that are designed to meet the needs identified in (2). Discuss the appropriateness of these activities as well as the likelihood of their success.
5. Organization/Management and Work/Monitoring Plans. Describe the administrative mechanisms to be used in organizing and managing the project, including a summary description of relevant skills of the person who will have major project responsibilities. (Curriculum vitae should be appended to the narrative.) Describe a procedure for monitoring the progress of the project including a timetable for accomplishing major project tasks and milestones. Progress reports, advisory committee meetings, and other important monitoring activities should be described and shown in the timetable.
6. Expected Outcomes. Provide details on the expected outcomes and potential impact of the project on the institution. Describe the likely institutional gain that will result. Describe how minority students in particular will benefit from this project.
7. Scientific and Educational Value of the Proposed Project. The relationship of the proposed project to the present state of science education and its potential for future contributions to science education should be described.
8. Evaluation Plan. Describe a mechanism for determining whether project objectives have been accomplished and for measuring impact of the project. Such an evaluation plan may be entirely internal in nature or it may involve outside consultants. Outline specific roles or responsibilities of individuals and/or committees. Use quantifiable criteria whenever possible.
9. Plan for Continuation. Discuss procedures for integrating project activities and related costs into the institution's ongoing educational program and budget.

Improvement plans with activities involving equipment purchases should: (a) describe existing major holdings for those areas in which requests are made, (b) contain a list of proposed purchases with estimated costs, and (c) provide adequate justification for such purchases.

Improvement plans involving the preparation of printed, audio-visual or multimedia teaching/learning materials must justify the need for such materials and state that the materials to be prepared do not already exist. In addition, applications must justify in detail all other major items for which funding is requested.

Cooperative Project applications should also contain a clear description of the common needs of the cooperating institutions toward which the plan is directed as well as the various roles of the participating schools in the project.

C. SPECIAL PROJECT APPLICATIONS: Content

Each Special Project application should contain the following in the order listed:

1. Cover Sheet
2. Budget Summary Sheets: Application Budget Summary and MSEIP Budget
3. Budget Explanation and Detail
4. Project Summary
5. Table of Contents
6. Narrative
7. Curriculum Vitae of Key Personnel and Consultants
8. Summary Information on Previous Science Education Awards

The Cover and Budget Summary Sheets should follow the formats found in the Appendix using those items appropriate for Special Projects. Additionally, the type of proposed Special Project (Local, Pre-college or Service) should be checked on the cover sheet.

The length of the narrative must not exceed 15 double-spaced pages. The narrative should include the following:

1. Background. A brief description of the specific problem or need area this project is designed to address should be given. Where applicable, relationships to previous, current or proposed MSEIP projects should be described.
2. Objectives. A statement of the objective(s) of the proposed project as well as their relevance to MSEIP objectives should be given.
3. Methods, Materials and Procedures. Activities proposed to accomplish stated objectives should be described. A description of instruments, techniques, statistical analyses, and key project personnel and consultant roles should be given.
4. Evaluation Plan. Describe a mechanism for determining whether project objectives have been accomplished and for measuring the impact of the project. Such an evaluation plan may be entirely internal in nature or it may involve outside consultants. Outline specific roles or responsibilities of individuals and/or committees. Use quantifiable criteria whenever appropriate.
5. Expected Outcomes and Dissemination Plans. Beneficial results and means of their dissemination, if appropriate, should be given.
6. Scientific and Educational Value of the Proposed Project. The relationship of the proposed project to the present state of science education and its potential for future contributions to science education should be described.

The summary information on previous science education awards should be prepared following the guidelines in the previous section on Institutional and Cooperative Project applications.

- D. GENERAL FISCAL INFORMATION: Budget guidelines: See page 5 of these guidelines for limitations on grant duration and size.

#### Design Projects

Eligible budget items include, but are not limited to, replacement time for science faculty, use of consultants and summer planning workshops. Funds may be requested for part-time replacements during the academic year up to 50 percent of the academic year salaries for key science faculty who would be involved in project activities. Local rates paid for part-time instructors and for consultants should be used in preparing these budget items.

#### Institutional or Cooperative Projects

The plan described in the application may involve a variety of means for effecting improvements in science. Specific exclusions exist, however, for requesting support. For faculty participation in summer activities, a maximum of two-ninths of a faculty member's current academic year salary for 8 weeks of full-time involvement is allowable. Requests for shorter periods or for part-time involvement should be proportionately reduced. Requests for financial support of students involved in the project are generally based upon government approved work-study rates in operation at the institution.

ED funds will NOT be provided for:

- undergraduate scholarships (but student support for special activities in the project are permitted);
- augmenting the salary rate for faculty members pursuing regularly assigned duties or to support any other ongoing regular activity at the institution;
- the construction of major new buildings. This does not preclude ED support for such remodeling or renovation of existing facilities as may be required to carry out activities which are a part of the improvement program; or,
- office or clerical supplies.

Support may be requested for direct costs of the science improvement project including, but not limited to, the following: faculty and student participants in summer workshops related to the project, replacements during the academic year for faculty members engaged in further study or work on course or curriculum revision, costs of clerical and technical staff support directly related to project activities, undergraduate assistants involved in project activities, purchase of instructional scientific equipment essential to the project, travel expenses directly related to project activities, fees and expenses for consultants and salaries for new full-time science faculty who are part of the improvement plan.

Applications of more than one year's duration requesting support for new faculty are expected to reflect a decreasing schedule of Federal support for such positions over the grant period.

Funds may be requested to provide faculty replacements for the project director or for key faculty members engaged in project activities. The following methods for handling such cases are suggested:

- (a) If the faculty member is given release time by the institution during the academic year, either for the full year or a fraction thereof (e.g., one semester, or one or more quarters), the institution should continue to provide the faculty member's usual salary and benefits in the normal way and request funds to provide a replacement for the faculty member during this period and for the extent to which the faculty member is involved in project activities.
- (b) Support for faculty activity in the summer may not exceed two-ninths of a faculty member's current academic year salary for full-time involvement for an 8-week period. Support for shorter periods of time or for part-time involvement should be proportionately reduced.

Requests for support for student assistants engaged in project activities are generally based on the approved work-study rate in effect at the institution.

If staff benefits are treated as an item of direct cost, funds to provide these benefits may be requested at the rate normally in effect for the institution. If staff benefits are treated as an item of indirect cost in the negotiation of the institution's Indirect Cost Rate, funds for staff benefits may not be requested.

### Special Projects

Support may be requested for a number of budget items, including but not limited to the following: travel expenses directly related to the project; travel, honoraria and related expenses for consultants in accordance with local practice; replacement time for science faculty (refer to the above section for details on limitations on faculty replacement time); faculty participation in summer workshops or summer planning activities (refer to the above section for limitations on faculty summer involvement); faculty training or instructional skills development; clerical and technical staff support directly related to project activities; and graduate/undergraduate assistants involved in project activities.

Examples of other eligible budget items include costs associated with the sponsoring of, or expenses related to, the conduct of advanced science seminars and research skills workshops; pre-college science and mathematics enrichment programs; establishment of a visiting scientists program; curriculum development and faculty workshop projects; preparation of audio-visual (slides, films, film loops or cassette packages) and multimedia teaching/learning tools; materials on minorities in science; preparation of printed materials on science career information for students and parents; or, a study of ways on how established minority scientists have overcome barriers to their participation in science.

For each year of a project (Design, Institutional, Cooperative or Special), funds should be requested to cover the round-trip, jet-economy fare to Washington, DC, plus an amount for subsistence calculated according to institutional policy, to enable the project director to attend a 3-day meeting of project directors.

Indirect Costs. Each application may include indirect costs at 8% of the total direct costs of the project, or at the ED-approved indirect cost rate for the institution, whichever is the lesser of the two. The approved rate and the base for the computation may be obtained from the business officer of the institution. A copy of the ED-approved indirect cost rate documentation should accompany the application.

In the case of applications from formally organized consortia, the above procedures should be followed for the consortium. For cooperative applications from informally organized consortia, indirect cost amounts for the cooperating institutions should be computed using the 8% guideline or the ED-approved rates for those institutions, whichever is the lesser of the two.

### **III. SUBMISSION OF APPLICATIONS**

***Attention Electronic Applicants: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register Notice.***

#### Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington D.C. time) on the application deadline date. The regular hours of operation of the e-Grants website are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday (Washington D.C. time). Please note that the system is unavailable on Sundays, and after 7:00 p.m. on Wednesday for maintenance (Washington, D.C. time). Any modifications to these hours are posted on the e-Grants Web site.

If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgement when we receive your application.

#### Hardcopy submission requirements

An original and two copies of an application for an award must be mailed or hand-delivered by the application deadline date unless it was submitted electronically, along with one (1) copy of the college catalog. Applications and a catalog should be mailed (or hand-delivered) in a single package to the address noted in the Application Transmittal Instructions (Appendix VII).

Each copy of an application should be on standard (8 1/2" by 11") paper (reduced copies will not be considered), printed on one side only, double-spaced, and stapled only in the upper left-hand corner with no covering or binding material.

Applications should not be submitted earlier than one month before the established closing date for a given fiscal year.

Applicants are cautioned to take the following into consideration when submitting applications and establishing starting dates for proposed projects:

- The fiscal year ends on September 30.
- A minimum of six (6) months should be allowed for the processing of all applications. All final decisions are announced by written notification to the project director and to officials of the applying institution. Prior to this notification, no information can be given on the probability of support for any application.

#### **IV. OTHER CONSIDERATIONS IN SUBMITTING APPLICATIONS**

##### Certifications

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements should be included in the application packages. (See Appendix IV for forms).

##### ED Evaluation of Programs

Applicants should be aware that the Department may conduct its own in-depth evaluations of selected awarded projects. Thus, grantees should be prepared to cooperate with MSEIP program staff responsible for analyzing both the institutional context and the impact of any supported project.

##### Access to Peer Review Information

After final decisions have been announced, the Department will, upon request, inform the project director of the reasons for its decision on the application. Verbatim copies of reviews, not including the identity of the reviewer, will be made available to respective project directors upon request.

##### Confidential Aspects of Applications and Awards

When an application results in a grant, it becomes a part of the record of the Department's transactions, available to the public upon specific request. Information that the Department and the grantee mutually agree to be of a privileged nature will be held in confidence to the extent permitted by law.

An application that does not result in a grant may be retained by the Department. Such an application will be released only: (1) with the consent of the applicant; or (2) to the extent required by law. An application may be withdrawn at any time prior to final action thereon by the Department of Education.

##### Contracting or Transferring the Project Effort

Excluding the purchase of commercially available supplies, materials, equipment or general support services allowable under the grant, none of the substantive effort under a grant may be contracted or otherwise transferred to another organization without prior approval. Normally, the intent to so contract is fully disclosed in the proposed submission, and evidence of prior

approval appears in the grant instrument. In the event the need arises to so contract after a grant has been made, the grantee must submit to the ED Program Officer the proposed performance statement and budget, a statement indicating the basis for selection of the contractor and a justification of the proposed arrangement. The request must be signed by the project director and endorsed by the authorized organizational representative. ED approval will be indicated by letter from the Program Officer.

#### Equipment Availability and Use

If an application for support involves the purchase or lease of special purpose equipment, having a unit acquisition cost exceeding \$10,000, it must contain a certification by the authorized organizational representative that the equipment is (a) essential and not reasonably available and accessible to the project; and, (b) if funded by ED will be subject to reasonable inventory controls and maintenance procedures, and (c) organizational policies designed to enhance multiple or shared use on other projects, if such other use will not interfere with the work on the project for which the equipment is being acquired.

### **V. EVALUATION CRITERIA AND PROCEDURES**

The excellence of Department-supported activities is heavily dependent upon evaluations received from the scientific and educational communities. Applications will be reviewed competitively by panels composed of engineers, scientists and science educators outside of the Department and by the Program staff.

Panelists will be instructed to consider elements described in each of the established ten criteria and assign a numerical score to each criterion based on a 10-point scale. The maximum possible score for each criterion is indicated in parentheses. Panelists will also be requested to provide comments regarding their ratings. Applicants should refer to 34 CFR 637.31 and 637.32 (Appendix III) for the procedures and selection criteria used to evaluate MSEIP applications.

**MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAM  
QUESTIONS AND ANSWERS**

**Q: What is the definition of a “minority institution” for MSEIP?**

**A: For the purpose of this program a “minority institution” means an accredited college or university whose enrollment of a single minority group or a combination of minority groups, or other ethnic groups underrepresented in science and engineering, exceeds 50 percent of the total enrollment. (See 34 CFR 637.4 (b))**

**Q: Are Asian Americans included in the MSEIP definition of “minority group”?**

**A: No. Available statistics show that Asian Americans are not underrepresented in science and engineering. (See 34 CFR 637.4(b))**

**Q: Can a non-minority institution apply for any type of grant under MSEIP?**

**A: Yes. Sec. 1041 of the Program Law establishes eligibility as follows:**

- 1. Nonprofit science-oriented organizations, professional scientific societies, and all nonprofit, accredited colleges and universities which provide a needed service to a group of eligible minority institutions or which provide in-service training for project directors, scientists, and engineers from eligible institutions; and**
- 2. For the purpose of Section 1032, public and private nonprofit institutions that have at least 10 percent minority enrollment.**

**Non-minority institutions may apply for special projects and cooperative projects. The special provisions under the program regulations at 34 CFR 637.14 and 637.15 apply, respectively.**

**Q: Are school districts and/or local education agencies located in minority populated areas eligible to apply for MSEIP grants?**

**A: No. Eligibility to apply for MSEIP grants is limited to non-profit accredited colleges and universities, non-profit science-oriented organizations and professional scientific societies.**

**Q: Does MSEIP require matching funds?**

**A: No. MSEIP grants do not require matching funds. There is no statutory authority that requires matching funds.**

**Q: How long does it take to process a MSEIP application?**

**A: Applicants should allow at least six months from the closing date for the processing of applications by the program staff. All applicants will be notified in writing of the final decision on their respective application(s). Prior to this notification, no information can be given concerning the status of an application, i.e., its probability to be funded.**

**Q: Does MSEIP support scholarships for minorities to pursue studies in science and/or engineering?**

**A: No. MSEIP does not support scholarships. The program does not have legislative authority for supporting scholarships.**

**\*\*Program Statute and Program Regulations are located in Appendix II and III, respectively.**



# APPENDIX I

See [Federal Register: January 27, 2004 (Volume 69, Number 17)]

[Notices]

[Page 3901-3904]

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# APPENDIX II

## **PART E—MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAM**

### **SUBPART 1—MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAM**

#### **SEC. 350. [20 U.S.C. 1067] FINDINGS.**

Congress makes the following findings:

(1) It is incumbent on the Federal Government to support the technological and economic competitiveness of the United States by improving and expanding the scientific and technological capacity of the United States. More and better prepared scientists, engineers, and technical experts are needed to improve and expand such capacity.

(2) As the Nation's population becomes more diverse, it is important that the educational and training needs of all Americans are met. Underrepresentation of minorities in science and technological fields diminishes our Nation's competitiveness by impairing the quantity of well prepared scientists, engineers, and technical experts in these fields.

(3) Despite significant limitations in resources, minority institutions provide an important educational opportunity for minority students, particularly in science and engineering fields. Aid to minority institutions is a good way to address the underrepresentation of minorities in science and technological fields.

(4) There is a strong Federal interest in improving science and engineering programs at minority institutions as such programs lag behind in program offerings and in student enrollment compared to such programs at other institutions of higher education.

#### **SEC. 351. [20 U.S.C. 1067a] PURPOSE; AUTHORITY.**

(a) It is the purpose of this subpart to continue the authority of the Department to operate the Minority Institutions Science Improvement Program created under section 3(a)(1) of the National Science Foundation Act of 1950 and transferred to the Department by section 304(a)(1) of the Department of Education Organization Act of 1979.

(b) The Secretary shall, in accordance with the provisions of this subpart, carry out a program of making grants to institutions of higher education that are designed to effect long-range improvement in science and engineering education at predominantly minority institutions and to increase the participation of underrepresented ethnic minorities, particularly minority women, in scientific and technological careers.

#### **SEC. 352. [20 U.S.C. 1067b] GRANT RECIPIENT SELECTION.**

(a) ESTABLISHMENT OF CRITERIA.—Grants under this subpart shall be awarded on the basis of criteria established by the Secretary by regulations.

(b) PRIORITIES TO BE GIVEN IN CRITERIA.—In establishing criteria under subsection (a), the Secretary shall give priority to applicants which have not previously received funding from the Minority Institutions Science Improvement Program and to previous grantees with a proven record of success, as well as to applications that contribute to achieving balance among projects with respect to geographic region, academic discipline, and project type.

(c) REQUIRED CRITERIA.—In establishing criteria under subsection (a), the Secretary may consider the following selection criteria in making grants:

- (1) plan of operation;
- (2) quality of key personnel;
- (3) budget and cost effectiveness;
- (4) evaluation plan;
- (5) adequacy of resources;
- (6) identification of need for the project;
- (7) potential institutional impact of the project;
- (8) institutional commitment to the project;
- (9) expected outcomes; and
- (10) scientific and educational value of the proposed project.

## **SEC. 353. [20 U.S.C. 1067c] USE OF FUNDS.**

(a) TYPES OF GRANTS.—Funds appropriated to carry out this subpart may be made available as—

- (1) institutional grants (as defined in section 365(6));
- (2) cooperative grants (as defined in section 365(7));
- (3) design projects (as defined in section 365(8)); or
- (4) special projects (as defined in section 365(9)).

(b) AUTHORIZED USES FOR EACH TYPE OF GRANT.—(1) The authorized uses of funds made available as institutional grants include (but are not limited to)—

- (A) faculty development programs; or
- (B) development of curriculum materials.

(2) The authorized uses of funds made available as cooperative grants include (but are not limited to)—

- (A) assisting institutions in sharing facilities and personnel;
- (B) disseminating information about established programs in science and engineering;
- (C) supporting cooperative efforts to strengthen the institutions' science and engineering programs; or
- (D) carrying out a combination of any of the activities in subparagraphs (A) through (C).

(3) The authorized uses of funds made available as design projects include (but are not limited to)—

- (A) developing planning, management, and evaluation systems; or
- (B) developing plans for initiating scientific research and for improving institutions' capabilities for such activities.

Funds used for design project grants may not be used to pay more than 50 percent of the salaries during any academic year of faculty members involved in the project.

(4) The authorized uses of funds made available as special projects include (but are not limited to)—

- (A) advanced science seminars;
- (B) science faculty workshops and conferences;
- (C) faculty training to develop specific science research or education skills;
- (D) research in science education;
- (E) programs for visiting scientists;
- (F) preparation of films or audio-visual materials in science;
- (G) development of learning experiences in science beyond those normally available to minority undergraduate students;
- (H) development of pre-college enrichment activities in science; or
- (I) any other activities designed to address specific barriers to the entry of minorities into science.

## **SEC. 1024. <sup>1</sup>[20 U.S.C. 1135b–3] MULTIAGENCY STUDY OF MINORITY SCIENCE PROGRAMS.**

The Secretary, in cooperation with the heads of other departments and agencies that operate programs similar in purposes to the Minority Science Improvement Program which seek to increase minority participation and representation in scientific fields, shall submit a report to the President and Congress summarizing and evaluating such programs by January 1, 1996.

### **SUBPART 2—ADMINISTRATIVE AND GENERAL PROVISIONS**

## **SEC. 361. [20 U.S.C. 1067g] ELIGIBILITY FOR GRANTS.**

Eligibility to receive grants under this part is limited to—

- (1) public and private nonprofit institutions of higher education that—
  - (A) award baccalaureate degrees; and
  - (B) are minority institutions;

<sup>1</sup> Section 1024 was transferred by section 301(a)(5) of the Higher Education Amendments of 1998, but was not redesignated by section 301(a)(7) of that Act. Section 1024 may have been intended to have been repealed by section 702 of that Act.

- (2) public or private nonprofit institutions of higher education that—
  - (A) award associate degrees; and
  - (B) are minority institutions that—
    - (i) have a curriculum that includes science or engineering subjects; and
    - (ii) enter into a partnership with public or private nonprofit institutions of higher education that award baccalaureate degrees in science and engineering;
- (3) <sup>2</sup> nonprofit science-oriented organizations, professional scientific societies, and institutions of higher education that award baccalaureate degrees, that—
  - (A) provide a needed service to a group of minority institutions; or
  - (B) provide in-service training for project directors, scientists, and engineers from minority institutions; or
- (4) consortia of organizations, that provide needed services to one or more minority institutions, the membership of which may include—
  - (A) institutions of higher education which have a curriculum in science or engineering;
  - (B) institutions of higher education that have a graduate or professional program in science or engineering;
  - (C) research laboratories of, or under contract with, the Department of Energy;
  - (D) private organizations that have science or engineering facilities; or
  - (E) quasi-governmental entities that have a significant scientific or engineering mission.

## **SEC. 362. [20 U.S.C. 1067h] GRANT APPLICATION.**

(a) SUBMISSION AND CONTENTS OF APPLICATIONS.—An eligible applicant (as determined under section 361) that desires to receive a grant under this part shall submit to the Secretary an application therefore at such time or times, in such manner, and containing such information as the Secretary may prescribe by regulation. Such application shall set forth—

(1) a program of activities for carrying out one or more of the purposes described in section 351(b) in such detail as will enable the Secretary to determine the degree to which such program will accomplish such purpose or purposes; and (2) such other policies, procedures, and assurances as the Secretary may require by regulation.

(b) APPROVAL BASED ON LIKELIHOOD OF PROGRESS.—The Secretary shall approve an application only if the Secretary determines that the application sets forth a program of activities which are likely to make substantial progress toward achieving the purposes of this part.

## **SEC. 363. [20 U.S.C. 1067i] CROSS PROGRAM AND CROSS AGENCY CO-OPERATION.**

The Minority Science and Engineering Improvement Programs shall cooperate and consult with other programs within the Department and within Federal, State, and private agencies which carry out programs to improve the quality of science, mathematics, and engineering education.

## **SEC. 364. [20 U.S.C. 1067j] ADMINISTRATIVE PROVISIONS.**

(a) TECHNICAL STAFF.—The Secretary shall appoint, without regard to the provisions of title 5 of the United States Code governing appointments in the competitive service, not less than 2 technical employees with appropriate scientific and educational back-ground to administer the programs under this part who may be paid without regard to the provisions of chapter 51 and subchapter III of chapter 53 of such title relating to classification and General Schedule pay rates.

(b) PROCEDURES FOR GRANT REVIEW.—The Secretary shall establish procedures for reviewing and evaluating grants and contracts made or entered into under such programs. Procedures for reviewing grant applications, based on the peer review system, or contracts for financial assistance under this title may not be subject to any review outside of officials responsible for the administration of the Minority Science and Engineering Improvement Programs.

<sup>2</sup> This paragraph does not reflect amendments made by section 301(b) or 301(c)(9) of the Higher Education Amendments of 1998 (P.L. 105–244) as those amendments were superseded by the amendment made by section 307(b) of that Act.

## **SEC. 365. [20 U.S.C. 1067k] DEFINITIONS.**

For the purpose of this part—

(1) The term “accredited” means currently certified by a nationally recognized accrediting agency or making satisfactory progress toward achieving accreditation.

(2) The term “minority” means American Indian, Alaskan Native, Black (not of Hispanic origin), Hispanic (including persons of Mexican, Puerto Rican, Cuban, and Central or South American origin), Pacific Islander or other ethnic group under-represented in science and engineering.

(3) The term “minority institution” means an institution of higher education whose enrollment of a single minority or a combination of minorities (as defined in paragraph (2)) exceeds 50 percent of the total enrollment. The Secretary shall verify this information from the data on enrollments in the higher education general information surveys (HEGIS) furnished by the institution to the Office for Civil Rights, Department of Education.

(4) The term “science” means, for the purpose of this program, the biological, engineering, mathematical, physical, behavioral, and social sciences, and history and philosophy of science; also included are interdisciplinary fields which are comprised of overlapping areas among two or more sciences.

(5) The term “underrepresented in science and engineering” means a minority group whose number of scientists and engineers per 10,000 population of that group is substantially below the comparable figure for scientists and engineers who are white and not of Hispanic origin.

(6) The term “institutional grant” means a grant that supports the implementation of a comprehensive science improvement plan, which may include any combination of activities for improving the preparation of minority students for careers in science.

(7) The term “cooperative grant” means a grant that assists groups of nonprofit accredited colleges and universities to work together to conduct a science improvement program.

(8) The term “design projects” means projects that assist minority institutions that do not have their own appropriate resources or personnel to plan and develop long-range science improvement programs.

(9) The term “special projects” means—

(A) a special project grant to a minority institution which support activities that—

(i) improve the quality of training in science and engineering at minority institutions; or

(ii) enhance the minority institutions’ general scientific research capabilities; or

(B) a special project grant to any eligible applicant which supports activities that—

(i) provide a needed service to a group of eligible minority institutions; or

(ii) provide in-service training for project directors, scientists, and engineers from eligible minority institutions.



# APPENDIX III

## **TITLE 34--EDUCATION**

### **CHAPTER VI--OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION**

#### **PART 637--MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAM**

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##### **SUBPART A--GENERAL**

Sec. 637.1 What is the Minority Science and Engineering Improvement Program (MSEIP)?

The Minority Science and Engineering Improvement Program (MSEIP) is designed to effect long-range improvement in science and engineering education at predominantly minority institutions, and to increase the flow of underrepresented ethnic minorities, particularly minority women, into scientific and technological careers.

(Authority: 20 U.S.C. 1067-1067c, 1067g-1067k, 1068, and 1068b, unless otherwise noted)  
[65 FR 7674, Feb. 15, 2000]

Sec. 637.2 Who is eligible to receive a grant?

The following parties eligible to receive a grant under this part:

- (a) Public and private, nonprofit minority institutions of higher education that-
  - (1) Award baccalaureate degrees; and
  - (2) Qualify as minority institutions as defined 637.4;
- (b) Public or private nonprofit institutions of higher education that-
  - (1) Award associate degrees;
  - (2) Qualify as minority institutions as defined in 637.4;
  - (3) Have a curriculum that includes science or engineering subjects; and
  - (4) Enter into a partnership with public or private nonprofit institutions of higher education that award a baccalaureate degrees in science and engineering.
- (c) Nonprofit science-oriented organizations, professional scientific societies, and institutions of higher education that award baccalaureate degrees that-
  - (1) Provide a needed service to a group of minority institutions; or
  - (2) Provide in-service training to project directors, scientists, and engineers from minority institutions; or
- (d) A consortia of organizations, that provide needed services to one or more minority institutions. The consortia membership may include-
  - (1) Institutions of higher education which have a curriculum in science or engineering;
  - (2) Institutions of higher education that have a graduate or professional program in science or engineering;
  - (3) Research laboratories of, or under contract with, the Department of Energy;
  - (4) Private organizations that have science or engineering facilities; or
  - (5) Quasi-governmental entities that have a sufficient scientific or engineering mission.

(Authority: 20 U.S.C. 1067g)

Sec. 637.3 What regulations apply to the Minority Science and Engineering Improvement Program?

The following regulations apply to the Minority Science Improvement Program:

- (a) The Education Department General Administrative Regulations (EDGAR) as follows:
  - (1) 34 CFR part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations).
  - (2) 34 CFR part 75 (Direct Grant Programs).
  - (3) 34 CFR part 77 (Definitions that Apply to Department Regulations).
  - (4) 34 CFR part 79 (Intergovernmental Review of Department of Education Programs and Activities).
  - (5) 34 CFR part 82 (New Restrictions on Lobbying).
  - (6) 34 CFR part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)).
  - (7) 34 CFR part 86 (Drug-Free Schools and Campuses).
- (b) The regulations in this part 637.

(Authority: 20 U.S.C. 1067-1067c, 1067g-1067k, 1068, and 1068b, unless otherwise noted)

[46 FR 51204, Oct. 16, 1981, as amended at 52 FR 43544, Nov. 12, 1987; 57 FR 54302, Nov. 18, 1992; 65 FR 7675, Feb. 15, 2000]

Sec. 637.4 What definitions apply to the Minority Science and Engineering Improvement Program?

- (a) Definitions in EDGAR. The following terms used in this part are defined in 34 CFR part 77.

Applicant  
Application  
Department  
EDGAR  
Grants  
Grantee  
Nonprofit  
Private  
Project  
Project period  
Secretary

- (b) Definitions that apply to this part:

**Accredited** means currently certified by a nationally recognized accrediting agency or making satisfactory progress toward achieving accreditation.

**Act** means the Higher Education Act of 1965, as amended.

**Minority** means American Indian, Alaskan Native, black (not of Hispanic origin), Hispanic (including persons of Mexican, Puerto Rican, Cuban, and Central or South American origin), Pacific Islander or other ethnic group underrepresented in science and engineering. **Minority institution** means an accredited college or university whose enrollment of a single minority group or a combination of minority groups as defined in this section exceeds fifty percent of the total enrollment. The Secretary verifies this

information from the data on enrollments (Higher Education General Information Surveys HEGIS XIII) furnished by the institution to the Office for Civil Rights, Department of Education.

**Science** means, for the purposes of this program, the biological, engineering, mathematical, physical, and social sciences, and the history and philosophy of science; also included are interdisciplinary fields which are comprised of overlapping areas among two or more sciences.

**Underrepresented** means in science and engineering means a minority group whose number of scientists and engineers per 10,000 population of that group is substantially below the comparable figure for scientists and engineers who are white and not of Hispanic origin.

(Authority: 20 U.S.C. 1067-1067c, 1067g-1067k, 1068, 1068b)  
[46 FR 51204, Oct. 16, 1981, as amended at 52 FR 43544, Nov. 12, 1987; FR 7675. Feb. 15, 2000]

## SUBPART B--WHAT KINDS OF PROJECTS DOES THE SECRETARY ASSIST UNDER THIS PROGRAM?

Sec. 637.11 What kinds of projects are supported by this program?

The Secretary awards grants under this program for all or some of the following categories of projects:

- (a) Institutional projects for implementing a comprehensive science improvement plan as described in Sec. 637.12.
- (b) Design projects for developing a long-range science improvement plan as described in Sec. 637.13.
- (c) Special projects to support activities as described in Sec. 637.14.
- (d) Cooperative projects to share facilities and personnel and disseminate information as described in Sec. 637.15.

(Authority: 20 U.S.C. 1135b-2)

Sec. 637.12 What are institutional projects?

- (a) Institutional project grants support the implementation of a comprehensive science improvement plan, which may include any combination of activities for improving the preparation of minority students, particularly minority women, for careers in science.
- (b) Activities that the Secretary may assist under an institutional project include, but are not limited to, the following:
  - (1) Faculty development programs; or
  - (2) Development of curriculum materials.

(Authority: 20 U.S.C. 1135b-2, 1135d-5)

[46 FR 51204, Oct. 16, 1981, as amended at 52 FR 43545, Nov. 12, 1987; 57 FR 54302, Nov. 18, 1992]

Sec. 637.13 What are design projects?

- (a) Design project grants assist minority institutions that do not have their own appropriate resources or personnel to plan and develop long-range science improvement programs.
- (b) Activities that the Secretary may assist under a design project include, but are not limited to, the following:
  - (1) Development of planning, management, and evaluation systems; and
  - (2) Improvement of institutional research or development offices.

(Authority: 20 U.S.C. 1135b-2, 1135d-5)

[46 FR 51204, Oct. 16, 1981, as amended at 52 FR 43545, Nov. 12, 1987]

Sec. 637.14 What are special projects?

There are two types of special projects grants--

- (a) Special project grants for which minority institutions are eligible which support activities that--
  - (1) Improve quality training in science and engineering at minority institutions; or
  - (2) Enhance the minority institutions' general scientific research capabilities.
- (b) Special project grants for which all applicants are eligible which support activities that--
  - (1) Provide a needed service to a group of eligible minority institutions; or
  - (2) Provide in-service training for project directors, scientists, and engineers from eligible minority institutions.
- (c) Activities that the Secretary may assist under a special project include, but are not limited to, the following:
  - (1) Advanced science seminars;
  - (2) Science faculty workshops and conferences;
  - (3) Faculty training to develop specific science research or education skills;
  - (4) Research in science education;
  - (5) Programs for visiting scientists;
  - (6) Preparation of films or audio-visual materials in science;
  - (7) Development of learning experiences in science beyond those normally available to

- minority undergraduate students, particularly minority women;
- (8) Development of pre-college enrichment activities in science; and
- (9) Any other activities designed to address specific barriers to the entry of minorities, particularly minority women, into science.
- (d) Minority institutions are eligible to apply for special projects of the type listed in paragraph (a) of this section. All applicants eligible for assistance under this program may apply for special projects of the type listed in paragraphs (b) and (c) of this section.

(Authority: 20 U.S.C. 1135b-2, 1135d-5)

[46 FR 51204, Oct. 16, 1981, as amended at 52 FR 43545, Nov. 12, 1987;  
57 FR 54302, Nov. 18, 1992]

#### 637.15 What are cooperative projects?

- (a) Cooperative project grants assist groups of nonprofit accredited colleges and universities to work together to conduct a science improvement project.
- (b) Activities that the Secretary may fund under cooperative projects include, but are not limited to, the following:
  - (1) Assisting institutions in sharing facilities and personnel;
  - (2) Disseminating information about established programs in science and engineering;
  - (3) Supporting cooperative efforts to strengthen the institutions' science and engineering programs; and
  - (4) Carrying out a combination of any of the activities in paragraphs (c)(1)-(3) of this section.
- (c) Eligible applicants for cooperative projects are groups of nonprofit accredited colleges and Universities whose primary fiscal agent is an eligible minority institution as defined in Sec. 637.4(b).

(Authority: 20 U.S.C. 1135b-2, 1135d-5)

### **SUBPART C--HOW DOES ONE APPLY FOR A GRANT?**

#### Sec. 637.21 Application procedures.

One applies for a grant under the procedures of EDGAR (75.100 through 75.1295).

### **SUBPART D--HOW DOES THE SECRETARY MAKE A GRANT?**

#### Sec. 637.31 How does the Secretary evaluate an application?

- (a) The Secretary evaluates an application on the basis of the criteria in Sec. 637.32.
- (b) The Secretary awards up to 100 points for these criteria.
- (c) The maximum possible score of each criterion is indicated in parentheses.
- (d) The Secretary gives priority to applicants which have not previously received funding from the program and to previous grantees with a proven record of success, as well as to applications that contribute to achieving balance among funded projects with respect to:
  - (1) Geographic region;

- (2) Academic discipline; and
- (3) Project type.

(Authority: 20 U.S.C. 1135b-1, 1135d-3)

[46 FR 51204, Oct. 16, 1981, as amended at 52 FR 43545, Nov. 12, 1987]

Sec. 637.32 What selection criteria does the Secretary use?

The Secretary evaluates applications using the following criteria:

(a) Plan of operation. (10 points)

- (1) The Secretary reviews each application for information that shows the quality of the plan of operation for the project.
- (2) The Secretary looks for information that shows--
  - (i) Higher quality in the design of the project;
  - (ii) An effective plan of management that insures proper and efficient administration of the project;
  - (iii) A clear description of how the objectives of the project relate to the purpose of the program;
  - (iv) The way the applicant plans to use its resources and personnel to achieve each objective; and
  - (v) Methods of coordination. (See EDGAR 34 CFR 75.581)

(b) Quality of key personnel. (10 points)

- (1) The Secretary reviews each application for information that shows the quality of the key personnel the applicant plans to use on the project.
- (2) The Secretary looks for information that shows--
  - (i) The qualifications of the project director (if one is to be used);
  - (ii) The qualifications of each of the other key personnel to be used in the project;
  - (iii) The time that each person referred to in paragraphs (b)(2) (i) and (ii) of this section plans to commit to the project.
  - (iv) The extent to which the applicant, as part of its nondiscriminatory employment practices, encourages applications for employment from persons who are members of groups that have been traditionally underrepresented, such as members of a racial or ethnic minority groups, women, handicapped persons, and the elderly.

- (3) To determine the qualifications of a person, the Secretary considers evidence of past experience and training, in fields related to the objectives of the project, as well as other information that the applicant provides.

(c) Budget and cost effectiveness. (5 points)

- (1) The Secretary reviews each application for information that shows that the project has an adequate budget and is cost effective.
- (2) The Secretary looks for information that shows--
  - (i) The budget for the project is adequate to support the project activities; and
  - (ii) Costs are reasonable in relation to the objective of the project.

(d) Evaluation plan. (10 points)

- (1) The Secretary reviews each application for information that shows the quality of the evaluation plan for the project. (See EDGAR 34CFR 75.590--Evaluation by the grantee; where applicable)
- (2) The Secretary looks for information that shows methods of evaluation that are

appropriate for the project and, to the extent possible, are objective and produce data that are quantifiable.

(e) Adequacy of resources. (5 points)

- (1) The Secretary reviews each application for information that shows that the applicant plans to devote adequate resources to the project.
- (2) The Secretary looks for information that shows--
  - (i) The facilities that the applicant plans to use are adequate; and
  - (ii) The equipment and supplies that the applicant plans to use are adequate.

(Authority: 20 U.S.C. 1135b-1, 1135d-3)

(f) Identification of need for the project. (10 points)

- (1) The Secretary reviews each application for information that shows the identification of need for the project.
- (2) The Secretary looks for information that shows--
  - (i) An adequate needs assessment;
  - (ii) An identification of specific needs in science; and
  - (iii) An involvement of appropriate individual, especially science faculty, in identifying the institutional needs.

(g) Potential institutional impact of the project. (15 points)

- (1) The Secretary reviews each application to determine the extent to which the proposed project gives evidence of potential for enhancing the institution's capacity for improving and maintaining quality science education for its minority students, particularly minority women.
- (2) The Secretary looks for information that shows--
  - (i) For an institutional or cooperative project, the extent to which both the established science education program(s) and the proposed project will expand or strengthen the established program(s) in relation to the identified needs; or
  - (ii) For a design project, the extent to which realistic long-range science education improvement plans will be developed with the technical assistance provided under the project; or
  - (iii) For a special project, the extent to which it addresses needs that have been adequately addressed by an existing institutional science program or takes a particularly new and exemplary approach that has not been taken by any existing institutional science program.

(h) Institutional commitment to the project. (15 points)

- (1) The Secretary reviews each application for information that shows that the applicant plans to continue the project activities when funding ceases.
- (2) The Secretary looks for information that shows—
  - (i) Adequate institutional commitment to absorb any after-the-grant burden initiated by the project
  - (ii) Adequate plans for continuation of project activities when funding ceases;
  - (iii) Clear evidence of past institutional commitment to the provision of quality science programs for its minority students; and
  - (iv) A local review statement signed by the chief executive officer of the institution endorsing the project and indicating how the project will accelerate the attainment of the institutional goals in science.

(i) Expected outcomes. (10 points)

- (1) The Secretary reviews each application to determine the extent to which minority

students, particularly minority women, will benefit from the project.

- (2) The Secretary looks for information that shows--
  - (i) Expected outcomes likely to result in the accomplishment of the program goal;
  - (ii) Educational value for science students; and
  - (iii) Possibility of long-term benefits to minority students, faculty, or the institution.
- (j) Scientific and educational value of the proposed project. (10 points)
  - (1) The Secretary reviews each application for information that shows its potential for contributions to science education.
  - (2) The Secretary looks for information that shows--
    - (i) The relationship of the proposed project to the present state of science education;
    - (ii) The use or development of effective techniques and approaches in science education; and
    - (iii) Potential use of some aspects of the project at other institutions.

(Approved by the Office of Management and Budget under control number 1840-0109)

(Authority: 20 U.S.C. 1135b-1, 1135d-3)

[46 FR 51204, Oct. 16, 1981, as amended at 53 FR 49146, Dec. 6, 1988; 57 FR 54302, Nov. 18, 1992]

## **SUBPART E--WHAT CONDITIONS MUST BE MET BY A GRANTEE?**

Sec. 637.41 What are the cost restrictions on design project grants?

For design project grants funds may not be used to pay more than fifty percent of the academic year salaries of faculty members involved in the project.

(Authority: 20 U.S.C. 1135b-2, 1135d-5)

# APPENDIX IV



*Minority Science and Engineering Improvement Program*

INSTRUCTIONS FOR COMPLETING THE APPLICATION FACE SHEET  
APPLICANT INFORMATION

- 
- Item 1. Completed by ED.
- Item 2. Check appropriate box (if yes, give explanation).
- Item 3. Completed by ED.
- Item 4. Completed by ED.
- Item 5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity.
- Item 6. Complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
- Item 7. Enter Data Universal Numbering System (DUNS) number as assigned by the Dun and Bradstreet.
- Item 8. Self-explanatory.
- Item 9. a. Self-explanatory.  
b. Self-explanatory.  
c. Self-explanatory.
- Item 10. a. Self-explanatory.  
b. Self-explanatory.  
c. Self-explanatory.  
d. Self-explanatory.
- Item 11. Name of Co-Project Director.
- Item 12. Name of Assistant Project Director.
- Item 13. Give a brief description of disciplines involved in completing the project.
- Item 14. a. Self-explanatory.  
b. Self-explanatory.  
c. Self-explanatory.  
d. Self-explanatory.

## APPLICATION FOR FEDERAL ASSISTANCE UNDER THE MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAM

<b>1. ED ORGANIZATIONAL UNIT:</b> Institutional Development and Undergraduate Education Service  Minority Science and Engineering Improvement Program		<b>2. ARE ANY FUNDS IN THIS APPLICATION FROM ANY OTHER FUNDING SOURCE? (IF YES, EXPLAIN ON BACK)</b>  YES [ ] NO [ ]	
<b>3. PROGRAM ANNOUNCEMENT/SOLICITATION NO.:</b>  CFDA 84.120A		<b>4. CLOSING DATE:</b>	
<b>5. NAME OF SUBMITTING ORGANIZATION TO WHICH AWARD SHOULD BE MADE: (INCLUDE BRANCH/CAMPUS/OTHER COMPONENTS)</b>			
<b>6. ADDRESS OF ORGANIZATION: (INCLUDE ZIP CODE)</b>		<b>7. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER:</b>	
<b>8. CHECK PROJECT TYPE: 84.120A</b> DESIGN [ ] SPECIAL, LOCAL [ ] INSTITUTIONAL [ ] SPECIAL, PRE- [ ] COOPERATIVE [ ] COLLEGE [ ] SPECIAL, SERVICE [ ]			
<b>9a. AMOUNT REQUESTED</b>	<b>9b. PROPOSED DURATION: (MONTHS)</b>	<b>9c. DESIRED STARTING DATE:</b>	
<b>10a. PROJECT DIRECTOR'S NAME:</b>		<b>10b. PROJECT DIRECTOR'S TELEPHONE NUMBERS AND E-MAIL ADDRESS IF AVAILABLE:</b>  OFFICE: FAX: E-MAIL :	
<b>10c. PROJECT DIRECTOR'S DEPARTMENT:</b>		<b>10d. PROJECT DIRECTOR'S ORGANIZATION:</b>	
<b>11. ASSOCIATE OR CO-PROJECT DIRECTOR:</b>		<b>12. ASSISTANT PROJECT DIRECTOR:</b>	
<b>13. DISCIPLINE(S) INVOLVED IN PROJECT:</b>			
<b>14a. AUTHORIZED ORGANIZATIONAL REPRESENTATIVE NAME: (PROF., DR., MR., MS.)</b>		<b>14b. SIGNATURE:</b>	
<b>14c. TITLE:</b>		<b>14d. DATE:</b>	

# MINORITY SCIENCE AND ENGINEERING IMPROVEMENT PROGRAM

## PROJECT SUMMARY

1. Name of Institution or Consortium:
  
2. Predominant Race/Ethnicity (Please check the appropriate line and give %s)  
  
\_\_\_\_ American Indian or Alaska Native  
\_\_\_\_ Asian\*  
\_\_\_\_ Black or African American  
\_\_\_\_ Hispanic or Latino  
\_\_\_\_ Native Hawaiian or Other Pacific Islander  
\_\_\_\_ White\*
  
3. Project Director:
  
4. Number of Students, Staff and Faculty/Year expected to benefit from this Project:
  
5. Title of Project:
  
6. Summary of proposed work (no more than one page):

\*Institutions that have a Predominant Race/Ethnicity that is “White” or “Asian” are not eligible to apply for a grant under the Minority Science and Engineering Improvement Program.

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

## INSTRUCTIONS FOR ED FORM 524

### General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions

are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Other Budget Information Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.



U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS

OMB Control No. 1880--0538

Expiration Date: 10/31/99

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1."  
Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.
----------------------------------	--

**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**SECTION C - OTHER BUDGET INFORMATION (see instructions)**

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

### **PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, §Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

---

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER  
RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

---

**1. LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

---

**2. DEBARMENT, SUSPENSION, AND OTHER  
RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

---

**3. DRUG-FREE WORKPLACE  
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days

after receiving notice under subparagraph (d)(2) from an

employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

## Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> a. contract ____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>1. Status of Federal Action:</b> a. bid/offer/application ____ b. initial award c. post-award	<b>1. Report Type:</b> a. initial filing ____ b. material change  <b>For material change only:</b> Year ____ quarter ____ Date of last report ____
<b>4. Name and Address of Reporting Entity:</b> ____ Prime      ____ Subawardee Tier ____, if Known:   <b>Congressional District, if known:</b>		<b>4. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>    <b>Congressional District, if known:</b>
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>   CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b>  \$ _____	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only</b>	<b>Authorized for Local Reproduction</b> <b>Standard Form – LLL (Rev. 7-97)</b>	

# APPENDIX V

## **GUIDANCE ON SECTION 427 OF GEPA**

The purpose of this enclosure is to inform you about a new provision in the U.S. Department of Education's General Provisions Act (GEPA) that will apply to applicants for new grant awards under Department programs. This provision is section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

### **To Whom Does This Provision Apply?**

Section 427 of GEPA affects applicants for new discretionary grant awards under the Minority Science and Engineering Improvement Program. All applicants must include information in their applications to address this new provision in order to receive funding.

### **What Does This Provision Require?**

Section 427 requires that each institution applying for funds to include in its application a description of the steps the applicant proposes to take to ensure, for students, teachers, and other beneficiaries with special needs, equitable access to and participation in its Federally-assisted program.

This Section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: gender, race, national origin, color, disability, or age. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### **How Might an Applicant Satisfy the Requirement of This Provision?**

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project servicing, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in Braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is

concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct “outreach” efforts to girls, to encourage their enrollment

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

*Estimated Burden Statement \**

The time required to complete this information collection is estimated to vary from 1 to 3 hours per response with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to U.S. Department of Education, Washington, DC 20202-4651.

\* This burden statement applies only to GEPA section and not to the application.

# APPENDIX VI

## Appendix

### Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 6213, 400 Maryland Avenue, SW., Washington, DC 20202-0124.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

**PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.**

### **STATE SINGLE POINTS OF CONTACT**

**Note:** In accordance with Executive Order #12372, this listing represents the designated State Single Points of Contact. Because participation is voluntary, some States and Territories no longer participate in the process. These include: Alabama, Alaska, American Samoa, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Ohio, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, and Washington.

The jurisdictions not listed no longer participate in the process. However, an applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact.

#### **ARIZONA**

Ms. Joni Saad  
Arizona State Clearinghouse  
3800 N. Central Avenue  
Fourteenth Floor  
Phoenix, Arizona 85012  
Telephone: (602) 280-1315  
FAX: (602) 280-8144  
[jonis@ep.state.az.us](mailto:jonis@ep.state.az.us)

#### **ARKANSAS**

Mr. Tracy L. Copeland  
Manager, State Clearinghouse  
Office of Intergovernmental Services  
Department of Finance and Administration  
1515 W. 7th Street, Room 412  
Little Rock, Arkansas 72203  
Telephone: (501) 682-1074  
FAX: (501) 682-5206  
[tlcopeland@dfa.state.ar.us](mailto:tlcopeland@dfa.state.ar.us)

#### **CALIFORNIA**

Grants Coordinator  
State Clearinghouse  
Office of Planning & Research  
1600 Ninth Street, Room 250  
Sacramento, California 95814  
Telephone: (916) 323-7480  
FAX: (916) 323-3018  
No e-mail address

#### **DELAWARE**

Ms. Francine Booth  
State Single Point of Contact  
Executive Department  
Office of the Budget  
540 S. Dupont Highway  
Suite 5  
Dover, Delaware 19903  
Telephone: (302) 739-3326  
FAX: (302) 739-5661  
[fbooth@state.de.us](mailto:fbooth@state.de.us)

#### **FLORIDA**

Florida State Clearinghouse  
Department of Community Affairs  
22740 Centerview Drive  
Tallahassee, Florida 32399-2100  
Telephone: (904) 922-5438  
FAX: (904) 487-2899  
Contact: Ms. Cherie Trainor  
Telephone: (850) 414-5495  
[cherie.trainor@dca.state.fl.us](mailto:cherie.trainor@dca.state.fl.us)

#### **GEORGIA**

Ms. Deborah Stephens  
Coordinator  
Georgia State Clearinghouse  
270 Washington Street, S.W. - 8th Floor  
Atlanta, GA 30334  
Telephone: (404) 656-3855  
Telephone: (404) 656-3855  
FAX: (404) 656-7901  
[ssda@mail.opb.state.ga.us](mailto:ssda@mail.opb.state.ga.us)

#### **ILLINOIS**

Ms. Virginia Bova, Single Point of Contact  
Illinois Department of Commerce and  
Community Affairs  
James R. Thompson Center  
100 West Randolph, Suite 3-400  
Chicago, IL 60601  
Telephone: (312) 814-6028  
FAX: (312) 814-1800  
No e-mail address

#### **INDIANA**

Ms. Frances Williams  
State Budget Agency  
212 State House  
Indianapolis, Indiana 46204-2796  
Telephone: (317) 232-2972  
FAX: (317) 233-3323  
No e-mail address

**DISTRICT OF COLUMBIA**

Mr. Ron Seldon  
State Single Point of Contact  
Office of Grants Mgmt. & Development.  
717 14th Street, N.W. - Suite 400  
Washington, D.C. 20005  
Telephone: (202) 727-6537  
FAX: (202) 727-1617  
[rseldon-ogmd@dcgov.org](mailto:rseldon-ogmd@dcgov.org)

**KENTUCKY**

Mr. Kevin J. Goldsmith, Director  
Sandra Brewer, Executive Secretary  
Intergovernmental Affairs  
Office of the Governor  
700 Capitol Avenue  
Frankfort, Kentucky 40601  
Telephone: (502) 564-2611  
FAX: (502) 564-0437  
[kgoldmkgosmith@mail.state.ky.us](mailto:kgoldmkgosmith@mail.state.ky.us)  
[Sbrewer@mail.state.ky.us](mailto:Sbrewer@mail.state.ky.us)

**MAINE**

Ms. Joyce Benson  
State Planning Office  
184 State Street  
38 State House Station  
Augusta, Maine 04333  
Telephone: (207) 287-3261  
FAX: (207) 287-6489  
[joyce.benson@state.me.us](mailto:joyce.benson@state.me.us)

**MARYLAND**

Ms. Linda Janey  
Manager, Plan & Project Review  
  
Maryland Office of Planning  
301 W. Preston Street - Room 1104  
Baltimore, Maryland 21201-2365  
Staff Contact: Linda Janey  
Telephone: (410) 767-4490  
FAX: (410) 767-4480  
[linda@mail.op.state.md.us](mailto:linda@mail.op.state.md.us)

**IOWA**

Mr. Steven R. McCann  
Division for Community Assistance  
Iowa Department of Economic  
Development  
200 East Grand Avenue  
Des Moines, Iowa 50309  
Telephone: (515) 242-4719  
FAX: (515) 242-4809  
[steve.mccann@ided.state.ia.us](mailto:steve.mccann@ided.state.ia.us)

**MISSOURI**

Ms. Lois Pohl  
Federal Assistance Clearinghouse  
Office of Administration  
P.O. Box 809  
Jefferson Building, 9th Floor  
Jefferson City, Missouri 65102  
Telephone: (314) 751-4834  
FAX: (314) 751-7819  
No e-mail address

**NEVADA**

Department of Administration  
State Clearinghouse  
209 E. Musser Street, Room 220  
Carson City, Nevada 89710  
Telephone: (702) 687-4065  
FAX: (702) 687-3983  
Contact: Ms. Heather Elliot  
Telephone: (702) 687-6367  
[helliot@govmail.state.nv.us](mailto:helliot@govmail.state.nv.us)

**NEW HAMPSHIRE**

Mr. Jeffrey H. Taylor  
Director, New Hampshire Office of State  
Planning  
Attn: Intergovernmental Review Process  
Mike Blake  
2 ½ Beacon Street  
Concord, New Hampshire 03301  
Telephone: (603) 271-2155  
FAX: (603) 271-1728  
No e-mail address

**MICHIGAN**

Mr. Richard Pfaff  
Southeast Michigan Council of Governments  
660 Plaza Drive - Suite 1900  
Detroit, Michigan 48226  
Telephone: (313) 961-4266  
FAX: (313) 961-4869  
[pfaff@semcog.org](mailto:pfaff@semcog.org)

**MISSISSIPPI**

Ms. Cathy Mallette  
Clearinghouse Officer  
Department of Finance and Administration  
550 High Street  
303 Walters Sillers Building  
Jackson, Mississippi 39302-3087  
Telephone: (601) 359-6762  
FAX: (601) 359-6758  
No e-mail address

**NORTH CAROLINA**

Ms. Jeanette Furney  
North Carolina Department  
of Administration  
116 West Jones Street - Suite 5106  
Raleigh, North Carolina 27603-8003  
Telephone: (919) 733-7232  
FAX: (919) 733-9571  
[jeanette\\_furney@mail.doa.state.nc.us](mailto:jeanette_furney@mail.doa.state.nc.us)

**NORTH DAKOTA**

North Dakota Single Point of Contact  
Office of Intergovernmental Assistance  
600 East Boulevard Avenue  
Department 105  
Bismarck, North Dakota 58505-0170  
Telephone: (701) 224-2094  
FAX: (701) 224-2308  
No e-mail address

**NEW MEXICO**

Mr. Nick Mandell  
Local Government Division  
State Budget Division  
Bataan Memorial Building, Room 201  
Santa Fe, New Mexico 87503  
Telephone: (505) 827-3640  
FAX: (505) 827-4984  
No e-mail address

**NEW YORK**

New York State Clearinghouse  
Division of the Budget  
State Capitol  
Albany, New York 12224  
Telephone: (518) 474-1605  
FAX: (518) 486-5617  
No e-mail address

**WEST VIRGINIA**

Mr. Fred Cutlip, Director  
Community Development Division  
W. Virginia Development Office  
Building #6, Room 553  
Charleston, West Virginia 25305  
Telephone: (304) 558-4010  
FAX: (304) 558-3248  
[fcutlip@wvdo.org](mailto:fcutlip@wvdo.org)

**WISCONSIN**

Mr. Jeff Smith  
Section Chief, State/Federal Relations  
Wisconsin Department of Administration  
101 East Wilson Street - 6th Floor  
P.O. Box 7868  
Madison, Wisconsin 53707  
Telephone: (608) 266-0267  
FAX: (608) 267-6931  
[slt@mail.state.wy.us](mailto:slt@mail.state.wy.us)

**RHODE ISLAND**

Mr. Kevin Nelson  
Review Coordinator  
Department of Administration  
Division of Planning  
One Capitol Hill, 4th Floor  
Providence, Rhode Island 02908-5870  
Telephone: (401) 222-2280  
FAX: (401) 277-2083  
No e-mail address

**SOUTH CAROLINA**

Ms. Omeagia Burgess  
State Single Point of Contact  
Budget and Control Board  
  
Office of the State Budget  
1122 Ladies Street - 12th Floor  
Columbia, South Carolina 29201  
Telephone: (803) 734-0494  
FAX: (803) 734-0645  
No e-mail address

**TEXAS**

Mr. Tom Adams  
Governors Office  
Director, Intergovernmental Coordination  
P.O. Box 12428  
Austin, Texas 78711  
Telephone: (512) 463-1771  
FAX: (512) 463-2681  
[tadams@governor.state.tx.us](mailto:tadams@governor.state.tx.us)

**UTAH**

Carolyn Wright  
Utah State Clearinghouse  
Office of Planning and Budget  
State Capitol, Room 116  
Salt Lake City, Utah 84114  
Telephone: (801) 538-1535  
FAX: (801) 538-1547  
[cwright@state.ut.us](mailto:cwright@state.ut.us)

**WYOMING**

Ms. Sandy Ross  
State Single Point of Contact  
Dept. of Administration and Information  
2001 Capitol Avenue, Room 214  
Cheyenne, WY 82002  
Telephone: (307) 777-7446  
FAX: (307) 632-3909  
[sross1@missc.state.wy.us](mailto:sross1@missc.state.wy.us)

**TERRITORIES****GUAM**

Mr. Joseph Riviera, Acting Director  
Bureau of Budget & Management  
Research  
Office of the Governor  
P.O. Box 2950  
Agana, Guam 96910  
Telephone: (671) 475-9411 or 9412  
FAX: (671) 472-2825  
No e-mail address

**PUERTO RICO**

Mr. Jose Caballero-Mercado, Chairman  
Puerto Rico Planning Board  
Federal Proposals Review Office  
Minillas Government Center  
P.O. Box 4119  
San Juan, Puerto Rico 00940-1119  
Telephone: (809) 727-4444  
(809) 723-6190  
FAX: (809) 724-3270  
(809) 724-3103

**NORTH MARIANA ISLANDS**

Mr. Alvaro A. Santos, Executive Officer  
Office of Management and Budget  
Office of the Governor  
Saipan, MP 96950  
Telephone: (670) 664-2256  
FAX: (670) 664-2272  
Contact: Ms. Jacoba T. Seman  
Federal Programs Coordinator  
Telephone: (670) 664-2289  
FAX: (670) 664-2272

**VIRGIN ISLANDS**

Mr. Nellon Bowry  
Director, Office of Management and  
Budget  
41 Noregade Emancipation Garden  
Second Floor  
Saint Thomas, VI 00802  
Contact: Ms. Linda Clarke  
Telephone: (809) 774-0750  
FAX: (809) 776-0069  
No e-mail address

**Note:** This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to Sherron Duncan (Telephone (202) 395-3120) at the Office of Management and Budget and to the State in question. Changes to the list will only be made upon formal notification by the State. The list is also published biannually in the Catalog of Federal Domestic Assistance.

# APPENDIX VII

## **INSTRUCTIONS FOR TRANSMITTAL OF APPLICATIONS:**

Note: Some of the procedures in these instructions for transmitting applications differ from those in the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.102). Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed regulations. However, these amendments make procedural changes only and do not establish new substantive policy. Therefore, under 5 U.S.C. 553(b)(A), the Secretary has determined that proposed rulemaking is not required.

### **Pilot Project for Electronic Submission of Applications**

In Fiscal Year 2004, the U.S. Department of Education is continuing to expand its pilot project of electronic submission of applications to include additional formula grant programs and additional discretionary grant competitions. The Minority Science and Engineering Improvement Program – CFDA 84.120A is one of the programs included in the pilot project. If you are an applicant under the Minority Science and Engineering Improvement Program, you may submit your application to us in either electronic or paper format.

The pilot project involves the use of the Electronic Grant Application System (e-APPLICATION, formerly e-GAPS) portion of the Grant Administration and Payment System (GAPS). We request your participation in this pilot project. We shall continue to evaluate its success and solicit suggestions for improvement.

If you participate in this e-APPLICATION pilot, please note the following:

- Your participation is voluntary.
- You will not receive any additional point value or penalty because you submit a grant application in electronic or paper format.

- You can submit all documents electronically, including the Application for Federal Assistance under the Minority Science and Engineering Improvement Program (OMB No. 1840-0109), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- Within three working days of submitting your electronic application fax a signed copy of the Application for Federal Assistance under the Minority Science and Engineering Improvement Program (OMB No. 1840-0109) to the Application Control Center after following these steps:
  1. Print the Application for Federal Assistance under the Minority Science and Engineering Improvement Program (OMB No. 1840-0109) from the e-APPLICATION system.
  2. Make sure that the institution's Authorizing Representative signs this form.
  3. Before faxing this form, submit your electronic application via the e-APPLICATION system.  
You will receive an automatic acknowledgement, which will include a PR/Award number (an identifying number unique to your application).
  4. Place the PR/Award number in the upper right hand corner of the Application for Federal Assistance under the Minority Science and Engineering Improvement Program (OMB No. 1840-0109).
  5. Fax the Application for Federal Assistance under the Minority Science and Engineering Improvement Program (OMB No. 1840-0109) to the Application Control Center at (202) 260-1349.
- We may request that you give us original signatures on all other forms at a later date. You may access the electronic grant application for the Minority Science and Engineering Improvement Program at: <http://e-grants.ed.gov>

We have included additional information about the e-APPLICATION pilot project (see Parity Guidelines between Paper and Electronic Applications) in the application package.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

(A) If You Send Your Application by Mail:

You must mail the original and three copies of the application on or before the deadline date to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA # 84.120A  
Washington, DC 20202-4725

You must show one of the following as proof of mailing:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

(B) If You Deliver Your Application by Hand:

You or your courier must hand deliver the original and three copies of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA # 84.120A  
Room 3633 Regional Office Building 3  
7<sup>th</sup> and D Streets, SW.  
Washington, DC

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays, and Federal holidays. The Center accepts

application deliveries through the D Street entrance only. A person delivering an application must show identification to enter the building.

(C) If You Submit Your Application Electronically:

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington, DC time) on the deadline date.

The regular hours of operation of the e-Grants Web site are 6:00 a.m. until 12:00 midnight (Washington, DC time) Monday - Friday and 6:00 a.m. until 7:00 p.m. Saturdays. The system is unavailable on the second Saturday of every month, Sundays, and Federal holidays. Please note that on Wednesdays the Web site is closed for maintenance at 7:00 p.m. (Washington, DC time).

Notes:

(1) The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

(2) If you send your application by mail or deliver it by hand or by a courier service, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 15 days from the date of mailing the application, you should call the U.S. Department of Education Application Control Center at (202) 708-9493.

(3) You must indicate on the envelope and--if not provided by the Department--in Item 3 of the Application for Federal Education Assistance under the Minority Science and Engineering Improvement Program -- the CFDA number--and suffix letter, if any -- of the competition under which you are submitting your application.

(4) If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgment when we receive your application.

## PARITY GUIDELINES BETWEEN PAPER AND ELECTRONIC APPLICATIONS:

In FY 2003, the U.S. Department of Education is continuing to expand the pilot project, which began in FY 2000, which allows applicants to use an Internet-based electronic system for submitting applications. This competition is among those that have an electronic submission option available to all applicants. The system, called e-APPLICATION, formerly e-GAPS (Electronic Grant Application System), allows an applicant to submit a grant application to us electronically, using a current version of the applicant's Internet browser. To see e-APPLICATION visit the following address:

<http://e-grants.ed.gov>

Users of e-APPLICATION, a data driven system, will be entering data on-line while completing their applications. This will be more interactive than just e-mailing a soft copy of a grant application to us. If you participate in this voluntary pilot project by submitting an application electronically, the data you enter on-line will go into a database and ultimately will be accessible in electronic form to our reviewers.

This pilot project continues the Department's transition to an electronic grant award process. In addition to e-APPLICATION, the Department plans to expand the number of discretionary programs using the electronic peer review (e-READER) system and to increase the participation of discretionary programs offering grantees the use of the electronic annual performance reporting (e-REPORTS) system. To help ensure parity and a similar look between electronic and paper copies of grant applications, we are asking each applicant that submits a paper application to adhere to the following guidelines:

- Submit your application on 8 ½" by 11" paper.
- Leave a 1-inch margin on all sides.
- Use consistent font throughout your document. You may also use boldface type, underlining, and italics. However, please do not use colored text.
- Please use black and white, also, for illustrations, including charts, tables, graphs and pictures.

- For the narrative component, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.
- Place a page number at the bottom right of each page beginning with 1; and number your pages consecutively throughout your document.

# APPENDIX VIII

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

If you fail to receive the notification of application receipt within fifteen (15) days from the closing date, call:

U.S. Department of Education  
Application Control Center  
(202) 708-9493

## **GRANT AND CONTRACT FUNDING INFORMATION**

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page	<a href="http://www.ed.gov/">http://www.ed.gov/</a>	(WWW Address)
	<a href="Gopher://gopher.ed.gov/">Gopher://gopher.ed.gov/</a>	(Gopher Address)
OCFO Web Internet Page	<a href="http://ocfp.ed.gov/">http://ocfp.ed.gov/</a>	(WWW Address)